

7TH ANNUAL COMPLIANCE & ECONOMIC CRIME SYMPOSIUM

“Thought provoking, informative and very relevant”

A one day symposium
Hotel de France, Jersey
Wednesday 9 November 2011

- Stephen Platt (Chairman)
- John Harris
- Stephen Gentle
- Nick Troy
- Paul Moore (The HBOS Whistleblower)
- Professor Peter Sommer
- Mike Bowron
- David de Ferrars
- Nicola Horton

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Programme

08.30–09.00	REGISTRATION & REFRESHMENTS	
09.00–09.15	Stephen Platt (Chairman), Principal, Stephen Platt & Associates LLP	Introduction
09.15–10.00	John Harris , Director General, JFSC	What keeps me awake at night
10.00–10.45	Stephen Gentle , Partner, Kingsley Napley	The do's and don'ts of handling an internal investigation
10.45–11.00	BREAK	
11.00–11.45	Nick Troy , Deputy Director, AML Unit, JFSC	The revised AML strategy
11.45–12.45	Paul Moore , Ex-Head of Operational Risk, HBOS	Lessons from my story
12.45–14.00	LUNCH	
14.00–14.45	Professor Peter Sommer , Visiting Professor at the London School of Economics	Why data security underpins good compliance
14.45–15.30	Mike Bowron , Chief of Police, States of Jersey Police	The challenge of policing economic crime in Jersey
15.30–15.45	BREAK	
15.45–16.30	David de Ferrars , Partner, Taylor Wessing	Lessons from the Madoff Fraud
16.30–17.15	Nicola Horton , Global Head of Sanctions Control, Barclays Bank PLC	Adopting a global approach to sanctions compliance

Introduction

The Jersey International Business School's Compliance & Economic Crime Symposium is acknowledged by senior offshore practitioners as an unmissable event for many Compliance Officers, MLROs, MLCOs, Senior Managers and Directors.

For the first time the symposium is being run in association with the Jersey Compliance Officers Association whose support in shaping the conference programme has been extremely valuable.

The symposium features some of the world's leading practitioners and examines the key topics of interest. It is designed to equip participants with enhanced awareness of key risks as well as the 'tools' needed to achieve effective compliance and to fight financial crime.

The format is interactive offering opportunity for debate. All speakers will talk for 30 minutes followed by an interview with the conference chairman who will also encourage questions from the floor.

The symposium provides a great forum for you to bring your knowledge and insight up to date and gain relevant and cost-effective CPD (7 hours).

We are grateful to Stephen Platt & Associates LLP, KYC360° and the International Compliance Association for their sponsorship of the Symposium.

Date: Wednesday 9 November 2011

Venue: Hotel de France, Jersey, Channel Islands

Time: 09.00 to 17.15 (7 hours CPD)

Price: £375 (plus GST)

Discount: 20% for JCOA members
10% for ICA, STEP and KYC360° members
Discounts can not be used in combination



Stephen Platt (Chairman) Principal, Stephen Platt & Associates LLP

Stephen is a practising English Barrister and an Adjunct Professor at the Graduate School of Law at Georgetown University, Washington D.C. Stephen is widely acknowledged as one of the world's foremost experts specialising in the regulation of financial services and financial crime in and through offshore financial centres. He is frequently engaged in politically sensitive matters involving sanctions, the proceeds of crime and the recovery of the proceeds of political corruption. Stephen Platt is highly commended for complex international advisory work, 'offering solutions others failed to see'. Legal 500



Paul Moore (Keynote Speaker) The HBOS Whistleblower

Paul Moore is the former Head of Group Regulatory Risk at HBOS and one of the most controversial figures to emerge from the era of the 'Credit Crunch'.

In 2007, HBOS was one of the UK's largest banks with assets of over £660bn, over 74,000 staff and profits before tax of £5.4bn. When the banking crisis hit, HBOS had to be rescued through a forced acquisition by Lloyds Banking group supported by government capital and liquidity support.

Dubbed in the press as 'The HBOS Whistleblower', Paul Moore was the only senior risk and compliance executive in the UK banking sector to speak out publicly in the aftermath of the financial crisis about what he saw from the inside of the bank.

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John Harris
Director General, JFSC

John was appointed the Director General of the Commission on 6 November 2006 and subsequently joined the Board of Commissioners on 1 March 2007. From 2002 to 2006, John held the position of Director – International Finance in the States of Jersey Chief

Minister's Department where he had responsibility for all aspects of the government's policy on the maintenance and enhancement of Jersey's position as an international finance centre.

From 1998 to 2002 he was Chief Executive Officer for NatWest Offshore with responsibility for offices in Jersey, Guernsey, Isle of Man, Gibraltar, Cayman, Bermuda and the Bahamas. He spent 22 years working for NatWest Bank during which time he held management positions in France, Switzerland and Singapore amongst others.



Stephen Gentle
Partner, Kingsley Napley

Stephen specialises in assisting corporate and individual clients in complex fraud and financial regulatory matters, frequently with multi-jurisdictional aspects. He has expertise in corruption and bribery matters (generally with an overseas focus) and FSA investigations and proceedings (with a particular emphasis on insider dealing, market misconduct matters and international regulatory issues). He is experienced in Office of Fair Trading investigations and money laundering prevention, investigations and prosecutions (Stephen is a member of the Law Society Money Laundering Task Force). His international criminal practice covers extradition proceedings, sanctions breaches and mutual legal assistance requests where he acts for individuals, corporations and governments.

Alongside his fraud practice, Stephen maintains a general crime practice and is also one of four lawyers in the firm who represent members of the Chief Police Officers Staff Association facing internal disciplinary inquiries. Stephen is frequently involved in advising members of government agencies in sensitive enquiries where independent expertise in criminal law is required.



Nick Troy
Deputy Director, AML Unit, JFSC

Nick Troy is a Deputy Director at the Jersey Financial Services Commission. He was a Police Officer for over 30 years in Jersey and Northern Ireland, the majority of which was spent as a detective investigating serious crime. He was Deputy Head of the Joint Financial Crimes

Unit for 6 years, before moving to the JFSC to establish the Commission's Anti-Money Laundering Unit. As such, he has been closely involved in the formulation of Jersey's AML/CFT Strategy.



Professor Peter Sommer
Visiting Professor, LSE

Peter Sommer is a Visiting Professor in the Information Systems Integrity Group in the Department of Management at the London School of Economics and also a Visiting Reader, Faculty of Mathematics, Computing and Technology, Open University. He has acted as an

expert in many important criminal and civil court proceedings where digital evidence has been an issue. He has been a Visiting Fellow in what was the Information Systems Department at the LSE since 1994 and, with Jim Backhouse, has developed the current range of Information System Security courses, with emphasis on social science, management, law and policy. As a consultant he is a well-established expert on computer security advising stock exchanges, large companies and insurance companies on systems risk.



Mike Bowron
Chief of Police, States of Jersey Police

Mike Bowron has served in uniform roles up to Chief Superintendent level and been involved in police reform advisory roles in Czechoslovakia and Jakarta. In 2001 he took responsibility for Central Operations in Kent, where the Policing Model he developed later became

the National Intelligence Model (NIM). In 2002 he became the Assistant Commissioner for the City of London Police and was responsible for the City's response to the Aldgate site following the 7/7 terrorist attack, introducing 'Project Griffin' to engage the private sector in defence against terrorism.

In 2006 Mike was appointed Commissioner, a position he held until joining the States of Jersey Police on 4th January, 2011. During his tenure he was ACPO lead for economic crime. He also launched the National Fraud Intelligence Bureau in June 2010, and negotiated with the Attorney General, for the City of London Police to gain lead force status for Economic Crime and Fraud. He was awarded the Queen's Policing Medal in 2007 and in the same year graduated from the FBI Academy, Quantico.



David de Ferrars
Partner, Taylor Wessing

David is also Head of the Fraud Group at the London office and specialises in complex fraud and corruption investigations, related court proceedings and asset tracing. He acts for global name companies, banks, individuals and family estates, often on multi-jurisdictional

cases. David is presently leading the Taylor Wessing team acting for the Trustee in Bankruptcy of Bernard Madoff's former company in relation to various pieces of litigation in the UK and other Commonwealth countries to recover US\$20 billion lost under Madoff's Ponzi scheme.

He also acts for the trustees of nine UK pension schemes seeking the recovery of millions stolen in what was the largest pensions fraud since the Maxwell fraud in the 1990s. Most recently, David and his team have been advising clients on their obligations under the new Bribery Act and have acted on a variety of corruption investigations.



Nicola Horton
Global Head of Sanctions Control, Barclays Bank PLC

Nicola worked in the RBS Group between 2003 and 2011. With a background in Payment Operations she spent over 6 years working in the Group's Global Transaction Services Operations within various roles.

In early 2010 Nicola moved to the role of Head of Anti-Money Laundering Operations UK, with responsibilities including oversight and control for RBS PLC processes of Transaction Filtering, Client Screening, Transaction Monitoring and Manual Suspicious Activity Reporting and was also the RBS Group's Nominated Officer.

Recently Nicola has moved to Barclays in a role of Head of Sanctions Risk and Control within the Global Payments division and has responsibility for providing strategic direction for Sanctions Risk and Control and controls related projects. The role works with senior stakeholders across Barclays Group to shape the most effective and efficient sanctions screening processes with a robust control environment.



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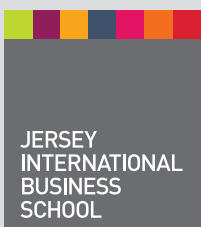
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The Jersey Compliance Officers Association was formed in 1997 and its members comprise compliance officers, regulators and other professionals from the financial services industry.



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